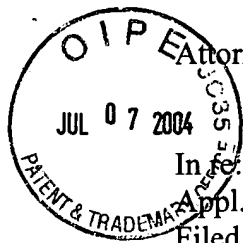


07.0801

17w



Attorney's Docket No. 047516/273802

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re: Leibowitz Confirmation No.: 8216  
Appl. No.: 10/821,118 Art Unit: 3624  
Filed: 04/08/2004 Examiner:  
For: FINANCIAL INSTRUMENT TRADING SYSTEM, METHOD AND  
COMPUTER PROGRAM PRODUCT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
CITATION UNDER 37 C.F.R. § 1.97**

Sir:

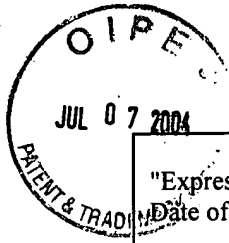
Attached is a list of documents on form PTO-1449. In accordance with the Office waiver published July 11, 2003, copies of the cited U.S. patents and patent application publications are not enclosed. Applicant does enclose copies of any cited foreign patent documents and non-patent literature in accordance with 37 CFR 1.98(a)(2).

It is requested that the Examiner consider these documents and officially make them of record in accordance with the provisions of 37 C.F.R. § 1.97 and Section 609 of the MPEP. By submitting the listed documents, Applicant in no way makes any admission as to the prior art status of the listed documents, but is instead submitting the listed documents for the sake of full disclosure.

Respectfully submitted,

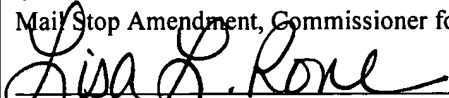
Gregory J. Carlin  
Registration No. 45,607

**Customer No. 00826**  
**ALSTON & BIRD LLP**  
Bank of America Plaza  
101 South Tryon Street, Suite 4000  
Charlotte, NC 28280-4000  
Tel Charlotte Office (704) 444-1000  
Fax Charlotte Office (704) 444-1111



"Express Mail" mailing label number EL 836091994 US  
Date of Deposit July 7, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:  
Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

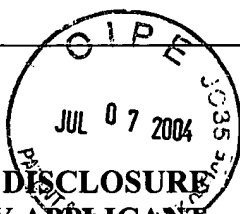
  
\_\_\_\_\_  
Lisa L. Rone

CLT01/4656134v1

Substitute for form 1449/PTO  
(Revised 04/2003)

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



## **Complete if Known**

Application Number	10/821,118
Filing Date	04/08/2004
First Named Inventor	Leibowitz
Group Art Unit	3624
Examiner Name	N/A
Attorney Docket Number	047516/273802

Sheet 1 of 2

## **U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Document Number Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
	1	US-5,375,055	12/20/1994	Togher et al.	
	2	US-6,347,307	02/12/2002	Sandhu et al.	
	3	US-6,560,580	05/05/2003	Fraser et al.	
	4	US-2002/0052822	05/02/2002	Terashima	
	5	US-2002/0052824	05/02/2002	Mahanti et al.	
	6	US-2002/0095369	07/18/2002	Kaplan et al.	
	7	US-2002/0099640	07/25/2002	Lange	
	8	US-2002/0099641	07/25/2002	Mills et al.	
	9	US-2002/0138401	09/26/2002	Allen et al.	
	10	US-2002/0143684	10/03/2002	Horsfall	
	11	US-2002/0143689	10/02/2002	Naylor et al.	
	12	US-2002/0169704	11/14/2002	Gilbert et al.	
	13	US-2002/0178104	11/28/2002	Hausman	
	14	US-2002/0188546	12/12/2002	Tang	
	15	US-2003/0088499	05/08/2003	Gilbert et al.	
	16	US-2003/0004853	01/02/2003	Ram et al.	
	17	US-2003/0110120	06/12/2003	Salehi	
	18	US-2003/0126063	07/03/2003	Reuter et al.	
	19	US-2003/0200167	10/23/2003	Kemp, II et al.	
	20	US-2003/0225679	12/04/2003	Tenorio	
	21	US-2003/0229571	12/11/2003	May	

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Foreign Patent Document Country Code - Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	English Language Translation Attached
	22	WO 02/086657	10/31/2002	Bloomberg LP		

Examiner  
Signature

Date  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute for form 1449/PTO  
(Revised 04/2003)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	10/821,118
Filing Date	04/08/2004
First Named Inventor	Leibowitz
Group Art Unit	3624
Examiner Name	N/A
Attorney Docket Number	047516/273802

**OTHER DOCUMENTS**

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	English Language Translation Attached
	23	The Foreign Exchange Market; Bank of England; Fact Sheet; April 2000.	

Examiner  
Signature

Date  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.